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Atty.Docket No. 080188

**STATEMENT UNDER 37 CFR 3.73(b)**



Applicant/Patent Owner: Norio MURASE and Chunliang LI

Application No./Patent No.: 10/543,185

Filed/Issue Date: March 23, 2006

Entitled: SEMICONDUCTOR ULTRAFINE PARTICLES, FLUORESCENT MATERIAL, AND LIGHT-EMITTING DEVICE  
NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL  
SCIENCE AND TECHNOLOGY

\_\_\_\_\_, a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 017515, Frame 0709, or for which a copy therefore is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
\_\_\_\_\_  
Signature

September 26, 2008

Date

Mel R. Quintos

Printed or Typed Name

(202) 659-2930

Telephone Number

Attorney for Applicants, Reg. No. 31,898

\_\_\_\_\_  
Title



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## Assignments on the Web &gt; Patent Query

## Patent Assignment Details

**NOTE: Results display only for issued patents and published applications.  
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Reel/Frame: 017515/0709

Pages: 3

Recorded: 07/22/2005

Attorney Dkt #: SAEG129.012APC

Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

## Total properties: 1

1      Patent #: NONE      Issue Dt:      Application #: 10543185      Filing Dt: 03/23/2006  
Publication #: US20070075294      Pub Dt: 04/05/2007  
Title: Semiconductor ultrafine particles, fluorescent material, and light-emitting device

## Assignors

1      MURASE, NORIO      Exec Dt: 07/05/2005  
2      LI, CHUNLIANG      Exec Dt: 07/05/2005

## Assignee

1      NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCIENCE AND TECHNOLOGY  
3-1, KASUMIGASEKI 1-CHOME, CHIYODA-KU  
TOKYO, JAPAN 1008921

## Correspondence name and address

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2040 MAIN STREET  
FOURTEENTH FLOOR  
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Search Results as of: 09/26/2008 04:15 PM

If you have any comments or questions concerning the data displayed, contact PRD / Assignments at 571-272-3350. v.2.0.1  
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SAEG129.012APC  
emn/HZC

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

APRIL 24, 2006

PTAS

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\*103169202A\*

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BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: SAEG129.012APC

ASSIGNOR:  
MURASE, NORIO

DOC DATE: 07/05/2005

ASSIGNOR:  
LI, CHUNLIANG

DOC DATE: 07/05/2005

ASSIGNEE:  
NATIONAL INSTITUTE OF ADVANCED  
INDUSTRIAL SCIENCE AND  
TECHNOLOGY  
3-1, KASUMIGASEKI 1-CHOME, CHIYODA-  
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TOKYO, JAPAN 1008921

017515/0709 PAGE 2

SERIAL NUMBER: 10543185

FILING DATE:

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ISSUE DATE:

TITLE: SEMICONDUCTOR ULTRAFINE PARTICLES, FLUORESCENT MATERIAL AND LIGHT-  
EMITTING DEVICE

SHARON LATIMER, EXAMINER  
ASSIGNMENT SERVICES BRANCH  
PUBLIC RECORDS DIVISION

Client Code: SAEG129.012APC

02-02-2006

10/543185  
ec'UPCT/P10 22 JUL 2005  
original documents or copy thereof.

To the Director, U.S. Patent and Trademark Office



103169202

Address of receiving party:

1. Name of conveying parties:

1. Norio Murase

2. Chunliang Li

Additional name(s) of conveying party(ies) attached?

( ) Yes (X) No

**Name:** National Institute of Advanced Industrial Science and Technology

**Street Address:** 3-1, Kasumigaseki 1-chome, Chiyoda-ku

**City:** Tokyo **Country:** Japan

**ZIP:** 1008921

Additional name(s) of receiving party(ies) attached?

( ) Yes (X) No

3. Nature of conveyance:

(X) Assignment ( ) Security Agreement

( ) Merger ( ) Change of Name

( ) Other:

Execution Date:

1. July 5, 2005

2. July 5, 2005

4. US or PCT Application number(s) or US Patent number(s):

(X) Application(s) filed herewith

Additional numbers attached?

( ) Yes (X) No

5. Party to whom correspondence concerning document should be mailed:

**Customer No.** 20,995

**Address:** Knobbe, Martens, Olson & Bear, LLP  
2040 Main Street, 14<sup>th</sup> Floor  
Irvine, CA 92614

**Return Fax:** (949) 760-9502

**Attorney's Docket No.:** SAEG129.012APC

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h)): \$40

(X) Enclosed

8. Deposit account number: 11-1410

Please charge this account for any additional fees which may be required, or credit any overpayment to this account.

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct, and any attached copy is a true copy of the original document.

Eric M. Nelson

Name of Person Signing

Signature

7/20/2005

Date

43,829  
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Total number of pages including cover sheet, attachments and document: 3

Documents transmitted via Mail to be recorded with required cover sheet information to:

**Mail Stop Assignment Recordation Services**

Director, U.S. Patent and Trademark Office

P.O. Box 1450

Alexandria, VA 22313-1450

ASSIGNMENT

WHEREAS, I/WE (1) MURASE Norio,

a Japanese citizen, residing at c/o Kansai Center of NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCIENCE AND TECHNOLOGY, 8-31, Midorigaoka 1-chome, Ikeda-shi, Osaka 5638577, Japan

(2) LI Chunliang,

a Chinese citizen, residing at c/o Kansai Center of NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCIENCE AND TECHNOLOGY, 8-31, Midorigaoka 1-chome, Ikeda-shi, Osaka 5638577, Japan

(3) \_\_\_\_\_,

a \_\_\_\_\_ citizen, residing at \_\_\_\_\_

hereinafter referred to as Assignor (collectively if more than one inventor is listed above), have invented certain new and useful improvements in SEMICONDUCTOR ULTRAFINE PARTICLES, FLUORESCENT MATERIAL AND LIGHT-EMITTING DEVICE

the specification of which:

(a) ☐ is attached hereto; or

(b) ☐ was filed on \_\_\_\_\_ as Application No. \_\_\_\_\_ or Express Mail No., as Application No. not yet known \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable); or

(c) ☒ was described and claimed in PCT International Application No.

PCT/JP2004/000585 filed on January 23, 2004

and as amended under PCT Article 19 on \_\_\_\_\_

(if any) and/or under PCT Article 34 on \_\_\_\_\_ (if any).

AND WHEREAS, NATIONAL INSTITUTE OF ADVANCED INDUSTRIAL SCIENCE AND TECHNOLOGY,

with its principal place of business at 3-1, Kasumigaseki 1-chome, Chiyoda-ku, Tokyo 1008921, Japan, (hereinafter referred to as Assignee) desires to acquire the entire right, title, and interest in and to the said improvements with respect to the United States of America, its territories and possessions.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Assignor hereby acknowledges that it has sold, assigned, transferred and set over, and by these presents does hereby sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title, and interest in the United States of America, and its territories and possessions in, to and under said improvements, and any Patent Applications in the United States of America and all divisions, renewals and continuations thereof, and all Patents of the United States of America which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions; and Assignor hereby authorizes and requests the Commissioner of Patents of the United States of America to issue all Patents for

said improvements to Assignee, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND ASSIGNOR HEREBY covenants and agrees that it will communicate to Assignee, its successors, legal representatives and assigns, any facts known to it respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in the United States of America.

IN TESTIMONY WHEREOF, Assignor intending to be legally bound has hereunto affixed its signature.

This 5th day of July, 20 05 Norio Murase  
Signature of MURASE Norio

This 5th day of July, 20 05 Chunliang Li  
Signature of LI Chunliang

This \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_  
Signature of \_\_\_\_\_